


## UNITED STATES GOVERNMENT MEMORANDUM

**To:** The Honorable Sim Lake  
United States District Judge

**From:**   
Barbara Schoephoerster  
Sr. U.S. Probation Officer

**Subject:** Richard Causey  
#4:04CR00025-001

**Date:** October 12, 2012



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Richard Causey was sentenced on November 15, 2006 for the offense of Securities fraud, aiding and abetting. He was sentenced to a term of imprisonment of sixty-six (66) months, followed by a two (2)-year term of supervised release, with special conditions of supervision prohibiting him from employment in a fiduciary role and prohibiting him from acting as an officer or director of any issuer of securities that has a class of securities registered with the Securities Exchange Commission. Additionally, one of the conditions of his plea agreement was "not to accept remuneration or compensation of any sort, directly or indirectly, for the dissemination through books, articles, speeches, interviews, or any other means, of information regarding his work at Enron or the investigation or prosecution of any civil or criminal cases against him."

Richard Causey has requested permission to travel to San Antonio next week to speak to students of finance and auditing about his case, the investigation, indictment, plea, incarceration, business failure, loss of capital, the Enron bankruptcy, financial statements, accounting issues, and ethics. He advised he will not receive any type of compensation, and he is hoping this will be a "productive way for others to learn" from his experience.

Please advise if you have any concern or issues with this offender speaking publicly about his case and the ethical issues surrounding it. He is aware of the terms of the plea agreement and supervision restrictions, and states he is attempting to bring about something positive.

Please check one of the boxes below indicating your approval or denial of the offender's request, and return this memo to the Probation Office:

☒ Approved  
☐ Denied

A handwritten signature in black ink, appearing to be "B. Schoephoerster", written over the "Denied" option.

Thank you for your assistance; I can be reached at (713) 250-5823.